

# Solutions for Asset Managers

## INSTITUTIONAL PLATFORM WITH FULL FUNCTIONALITY

- Full range of exchange-traded and OTC securities and derivatives, with real-time position and P&L viewer
- FIX connectivity to leading brokers, execution platforms, and algorithmic trading systems with seamless integration to market data feeds

Today's long-only asset managers are at a critical juncture: regulatory scrutiny is intensifying, margins are narrowing, and competition is growing as different industry segments converge. These pressures are leading many top executives to rethink their operating models — and the technology and services that support them. Established asset managers seek to increase efficiency by streamlining multiple vendor relationships, while others require technology support for new product lines. Emerging managers require a complete technology and infrastructure solution.

Broadridge's integrated, front- to back-office solution offers a cost-effective option. It handles all functions through a comprehensive platform with a central data warehouse, including order management, trading, compliance, portfolio accounting, performance measurement, risk management, analytics and reporting. Broadridge has proven success providing multi-asset class, 24/7 service and support to over 250 clients around the world.

- Integrated pre- and post-trade compliance tools
- · Real-time alerts, customizable rules and audit reporting
- Order and Execution Reference data acquisition across all asset classes; terms and conditions, pricing, and corporate actions · Automated trade and portfolio Reference Complete data warehouse solution reconciliation including data validation and · Integration with multiple service cleansing providers, including custodians, Aggregation of data from disparate prime brokers, and fund sources for data mining and reporting administrators Performance, Portfolio Management and **Risk Reporting** · Extensive library of customizable templates for Record keeping, historical reporting, cash operational, performance, risk and financial reporting management tracking, and NAV generation Manage, monitor and report on market and credit risk · Automated processing of portfolio events and exposures for an entire range of portfolios corporate actions
- Data warehouse is adaptable to meet both internal and client reporting requirements

Broadridge is a fully hosted, easily deployed ASP solution for asset managers combining mission-critical trading and portfolio accounting applications with support for compliance, risk management, and investment operations, all delivered on a comprehensive technology platform. Broadridge automates each step of a trade's life cycle as it moves through the frontmiddle-and back-office, giving portfolio managers, traders, operations staff, and executives transparency and control through customized "dashboards" and other functions tailored for their differing needs.

Broadridge provides 24/7 technical support and maintenance through a private cloud running on servers at SSAE 16 certified global data centers, and backed up by a mirrored "hot site" disaster recovery and business continuity infrastructure. Broadridge solutions can be deployed as a managed service, ASP, technology or staff replacement in virtually any combination.

#### **ABOUT BROADRIDGE**

Broadridge provides next generation investment management, reference data and risk solutions to address the real-time, front-to-back-office needs of hedge funds, asset managers, fund administrators, and prime brokers. Our multi-asset class solutions help simplify the management of complex instruments and strategies, improve operational efficiencies, and help lower the costs of managing multi-prime hedge funds.

#### WHY BROADRIDGE?

- Exclusive focus on financial services
- A trusted, neutral partner Broadridge does not execute, custody, finance, or serve as an administrator
- We serve 21 of the top 25 record keeping firms
- We provide engaging and educational communications to over 55 million participants across the US, helping them achieve better retirement outcomes
- We safeguard \$373 billion assets under administration, which includes over 30 million accounts custodied on our mutual fund trading platforms
- 6,300+ associates located in 20+ major offices globally

Efficient

with no need for

**Flexible** 

Integrated solution;

third party technology

or upgrades

Fully hosted or managed

performance maximized

unaffiliated with any administrator or custodian and does not profit from client order flow in any way

Conflict free provider;

Neutral

## Established

True business partner; backed by Broadridge, an NYSE listed financial technology company trusted by 8 of the 10 largest global investment banks

## Bottom Line Benefits

only one vendor to call for all services Scalable

Comprehensive platform;

Integrated

Wide ranging solution; suitable for start ups to large asset management complexes

## Easy

Turn key mplementation; business disruption minimized

## Reliable

Robust platform; thoroughly tested and backed up in multiple locations

Broadridge, a global fintech leader with over \$9 billion\* in market capitalization, provides communications, technology, data and analytics solutions. We help drive business transformation for our clients with solutions for enriching client engagement, navigating risk, optimizing efficiency and generating revenue growth. \*As of November 2017

## Ready for Next

Communications Technology Data and Analytics

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